



Digital Agency Application Form

This application is suitable for a Retail Intermediary with Principal Firm status, Regulated and domiciled in the UK, intermediating on behalf of UK domiciled customers with only UK located risk.

Please attach the following documents:

- A copy of the Audited Accounts for the last Financial Year,
- Bank Letter confirming set up of trust account for premium in accordance with CASS5, confirming the bank has no rights over the monies in the trust account by way of charge (whether fixed or floating), encumbrance, lien or right of set-off, compensation or retention,
- A copy of the Trust Deed
- A copy of the cover note or certificate for Applicant's professional indemnity and errors and omissions insurance which provides (i) name of insurer(s); (ii) name of broker(s); (iii) nature and extent of cover; and (iv) period of cover to the minimum FCA requirement for such cover.

This form should be completed and submitted by someone who has the authority to commit the Applicant Firm to an Agency with AIG and is empowered to supply further information if required.

Legal Status of the Applicant Firm:

Company Registration Number:

Please give the year of establishment:

Full Legal Company Name:

Registered Address:

Is the Registered Address the same as the Trading Address Yes No

If 'No' enter Trading Address:

Is the Registered Address the same as the address to which we send statements Yes No

If 'No' enter Statement Address:

Please supply name and contact details of the following personnel for our records

Compliance Officer:

Email: Phone:

Finance Officer:

Email: Phone:

Please supply the details of all current directors (name and role)

Name: Role:



Will the Applicant firm be subject to a change of control in the next 12 months Yes No

If 'Yes' please provide additional information:

Please supply your Registration Number for FCA: JFSC: or GFSC:

What is the regulatory status of the Applicant firm:

Please select and confirm your regulatory permissions:

- Advising on non-investment insurance contracts
- Arranging (bringing about) deals in non-investment insurance contracts
- Assisting in the administration and performance of non-investment insurance contracts
- Dealing in non-investment insurance contracts as agent
- Making arrangements with a view to transactions in non-investments insurance contracts
- Agreeing to carry on a regulated activity

Do you have any Close Links (CL)? Yes No

If 'Yes' enter additional information:

If yes please indicate which apply to the Applicant firm?

- (a) CL is a parent undertaking of Applicant or
- (b) CL is a subsidiary undertaking of Applicant or
- (c) CL is a parent undertaking of a subsidiary undertaking of Applicant or
- (d) CL is a subsidiary undertaking of a parent undertaking of Applicant or
- (e) CL owns or controls 10% or more of the voting rights or capital of Applicant or
- (f) Applicant owns or controls 10% or more of the voting rights or capital of CL

Does the Applicant firm hold Client Money in connection with non-investment insurance contracts? Yes No

Name & Address of Applicant Firm Bank (to which AIG can apply for reference)

Name of Bank Account(s) where premium monies will be deposited and managed

Bank Sort Code: Bank Account Number:

If no please confirm how you intend to hold AIG money and attach a copy of the relevant deed

Please supply the names of the 5 insurance companies with which the Applicant firm has its largest accounts

1

2

3

4

5

Please supply the GWP for Digital (E-Trade) Business and software house used: £

Please confirm how much GWP the Applicant firm has £

How much GWP will the Applicant firm be offering to AIG: £

Does the Applicant firm possess, store or process Personal Data as defined in the GDPR outside of the United Kingdom or the European Economic Area?	Yes	No
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If yes, please supply information as to where the data is stored

Please read the following statements carefully and confirm the Applicant Firm can answer the following statements in the affirmative - if the answer to any is no, please note that this will hold up the application for Agency whilst we consider the information you have supplied in explanation.

For the purposes of this section - Person means any controllers, directors, partners, members, proprietors and managers of Applicant firm, Relevant Body means the Financial Conduct Authority (FCA), the Office of Fair Training (OFT), Advertising Standards Authority (ASA), or any other regulator (including a previous regulator), clearing house, exchange, professional body, court or tribunal, government body or agency applicable to Applicant and/or Person, and/or any activity carried out by Applicant and/or Person, in any applicable jurisdiction

has not, in any jurisdiction, ever contravened any requirement or standard of any Relevant Body and/or been publicly or privately censored, disciplined, criticised, suspended or expelled by any Relevant Body and/or been the subject of a justified complaint by the Financial Ombudsman Service (FOS)	Yes	No
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If 'Yes' supply explanation:

is not currently, nor has ever been, in any jurisdiction, the subject of, or an interviewee in the course of, any existing or previous investigation, disciplinary or enforcement proceedings by a Relevant Body or is aware that any such investigation and/or proceedings are pending	Yes	No
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If 'Yes' supply explanation:

has never been the subject of a formal investigation under powers conferred by the Companies Act 1985 (as amended) and/or the Companies Act 2006 (as amended) in the UK, or equivalent legislation in any other jurisdiction	Yes	No
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If 'Yes' supply explanation:

in any jurisdiction:	Yes	No
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- (A) is not a defendant in any current civil proceedings connected with professional activities in which an allegation of fraud, negligence or dishonesty is being made and/or which may otherwise be material to the financial position of Applicant or
- (B) is not a claimant in any current civil proceedings for which the cost implications (e.g. cost of losing in the proceedings) are considerable or
- (C) has never been the subject of any adverse finding or any settlement in civil proceedings, particularly in connection with investment or other financial business, misconduct, fraud or the formation or management of a body corporate or
- (D) is not the subject of any pending or current criminal or disciplinary proceedings, or has been convicted of any criminal offence (this must include, where relevant, any spent convictions excepted under the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975) or has been notified of any potential proceedings or of any investigation which might lead to those proceedings

If 'Yes' supply explanation:

(i) has never been wound up or had a petition presented, or had a meeting called to consider a resolution, for winding it up Yes No

If 'Yes' supply explanation:

(ii) has never made, nor proposed to make, a composition or voluntary arrangement with any one of more of its creditors Yes No

If 'Yes' supply explanation:

(iii) has ever had an application for an interim order made against it under section 252 of the Insolvency Act 1986 (nor, in Northern Ireland, section 227 of the Insolvency (Northern Ireland) Order 1989) nor equivalent in any other jurisdiction Yes No

If 'Yes' supply explanation:

(iv) if it is a sole trader, has never been the subject of an application for a sequestration order nor a petition for bankruptcy Yes No

If 'Yes' supply explanation:

(v) is not, nor is reasonably likely to be within the next six months, nor has ever been the subject of any events or circumstances analogous to (i) to (iv) above in any jurisdiction Yes No

If 'Yes' supply explanation:

(vi) No Person has ever been a director, partner, or concerned in the management, of a business that has gone into insolvency, liquidation or administration whilst that Person has been connected with that organisation or within one year of that connection, in the United Kingdom nor in any other jurisdiction Yes No

If 'Yes' supply explanation:

(vii) No Person has ever been the subject of any judgment debt or award that remains outstanding or was not satisfied within a reasonable period, in the United Kingdom nor in any other jurisdiction Yes No

If 'Yes' supply explanation:

(viii) No Person has ever made any arrangements with his/her creditors, filed for bankruptcy, had a bankruptcy petition served on him/her, been adjudged bankrupt, been the subject of a bankruptcy restrictions order (including an interim bankruptcy restrictions order), offered a bankruptcy restrictions undertaking, had assets sequestrated, or been involved in proceedings relating to any of these, in the United Kingdom nor in any other jurisdiction	Yes	No
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If 'Yes' supply explanation:

(ix) is fully compliant with its obligations under all applicable statutory and other rules, laws, regulations, instruments and provisions in force from time to time in any jurisdiction, including (without limitation) the rules, codes of conduct, codes of practice, practice requirements and accreditation terms stipulated by any Relevant Body in any jurisdiction, including (without limitation) the Financial Services and Markets Act 2000 (FSMA), all British Standards, ABI claims code and any other relevant guidelines or codes of practice from time to time issued by the ABI	Yes	No
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If 'No' supply explanation:

(x) to date, every Person has, to the best of his knowledge, been candid and truthful in all his/her dealings with any applicable Relevant Body and demonstrated a readiness and willingness to comply, to the best of his/her ability, with the requirements and standards of the applicable regulatory system and with other legal, regulatory and professional requirements and standards, in the United Kingdom or in any other applicable jurisdiction	Yes	No
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If 'No' supply explanation:

(xi) every Person satisfies the relevant requirements of the FCA's Training and Competence sourcebook (TC) or equivalent regime in any other applicable jurisdiction, in relation to the controlled function that Person performs or is intended to perform, and has demonstrated by experience and training that that Person is able, or will be able if approved, to perform the controlled function, in the United Kingdom or in any other applicable jurisdiction	Yes	No
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If 'No' supply explanation:

(xii) The Applicant firm in relation to all parts of its business, is compliant with all money laundering requirements in the UK and all other applicable jurisdictions	Yes	No
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If 'No' supply explanation:

(xiii) The Applicant firm is, in relation to all parts of its business, in compliance with the provisions of any applicable data protection laws in any applicable jurisdiction, in each case pertaining to the security, confidentiality, protection of privacy of Personal Data, as amended or re-enacted from time to time including (without limitation and to the extent applicable) the General Data Protection Regulation (Regulation (EU) 2016/679) (the GDPR) (collectively, Data Protection Legislation), and that Applicant has obtained and maintains all necessary registrations and notifications that Applicant and each of its sub-contractors (where applicable) is obliged to obtain and maintain in accordance with the Data Protection Legislation	Yes	No
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If 'No' supply explanation:

(xiv) The Applicant firm has systems and technical, security and organisational measures in place to prevent unauthorised or unlawful processing of Personal Data (as defined in the GDPR) and accidental loss, destruction, damage, theft, use or disclosure of Personal Data Yes No

If 'No' supply explanation:

(xv) The Applicant firm maintains in place an appropriate business continuity / disaster recovery plan Yes No

If 'No' supply explanation:

Applicant's declaration: Applicant hereby declares and agrees:

- that all information provided by Applicant in connection with this application is true, accurate and complete;
- that Applicant has disclosed to AIG UK any matter known to Applicant at the date it signs this Application Form that may have a material impact on Applicant's ability to perform as AIG UK agent effectively and in compliance with all applicable laws, codes and regulations;
- that AIG UK shall rely on the information given by Applicant in connection with Applicant's application for appointment as an agent of AIG UK;
- that any proposed agency arrangement between Applicant and AIG UK shall be formalised under an agreement in the form provided by AIG UK;
- to AIG sharing data relating to your clients at an aggregated level by agency or line of business level with any broker network that you may be a part of.

Applicant undertakes to advise AIG UK immediately in writing in the event that any of the information contained in, or attached to, this Application Form becomes inaccurate or changes, or is reasonably likely to become inaccurate or change in the near future, before or after entering into any agreement with AIG UK. In the event that any information provided in, or attached to, this Application Form is subsequently found by AIG UK to not be true, is or becomes inaccurate or incomplete, or changes, AIG UK reserves the right to terminate any negotiations with Applicant or any agreement entered into from time to time between Applicant and AIG UK forthwith in its sole discretion without prejudice to any other rights and remedies AIG UK may have other connected persons or entities.



By signing this Application Form, Applicant hereby consents to AIG UK:

- conducting a credit check on Applicant, using third parties such as credit reference agencies, and/or information from the Electoral Register and using credit-scoring methods to assess the Applicant's application and to verify Applicant's identity.
- conducting a sanctions check on Applicant by using sanctions reference agencies which will supply AIG UK with sanction information.

Applicant acknowledges that sanction searches and other information which is provided to AIG UK and/or sanction reference agencies about Applicant and those with whom it is linked financially may be used by third parties if sanction decisions are made about Applicant, or

Print Name

Title at Applicant Firm

Date

Associated documents attached to email submission:

- Audited Accounts Yes
- Bank Letter Yes
- Trust Deed Yes
- Insurance Cover Note or Certificate Yes

Please email the completed form and any associated documents to: digitalagency@aig.com

To use the submit button, please view this form in Adobe Acrobat

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